

## **VOLUNTARY INDUSTRY INITIATIVES**

- Staff is working with involved stakeholders to develop guidelines for a regulatory framework that supports the implementation of voluntary industry initiatives (VIIs) in lieu of regulatory action.
    - Intended that VII guidelines promote consistent and predictable process that results in providing effective and coordinated resolution of issues while optimizing resource expenditures.
  - Several NSSS Owners Groups have responded by forming specialized working groups (e.g., BWRVIP, PWR MRP) to address technical issues of interest.
  - Staff interactions with these groups have been successful.
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## **BACKGROUND**

- SECY-97-03 to Commission per COMSECY-96-062, "The Role of Industry (DSI-13).
  - Stakeholder meeting
    - industry initiatives in lieu of regulatory action
    - improvements for NRC endorsement of codes and standards
  - Industry initiative paper requested to include:
    - analysis including review of stakeholder comments, identification of resources, impact of implementation and recommendations.
    - Coordination of staff review of the policy guidance in
  - Revision 2 of NUREGIBR-0058, "Regulatory Analysis Guidelines of the U.S. Nuclear Commission.
  - Staff prepared and Commission issued SECY 99-0063 addressing industry initiatives; Reg. Analysis Guidelines subject of separate paper
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## **STAKEHOLDER MEETINGS**

- Meeting with Stakeholders - September 1, 1998, Chicago, IL
    - Can industry initiatives be relied upon as adequate and effective substitutes for NRC regulatory activities?
    - Can industry initiatives be relied upon to complement NRC regulatory activities?
  - Meeting with Stakeholders - October 27, 1999
    - Discussion of Process for Voluntary Industry Initiatives
  - Meeting with NEI at their request - December 21, 1999
    - Further Discussion of Process for Voluntary Industry Initiatives
  - Second Meeting with Senior NEI Executive at their request - February 17, 2000
    - Further Discussion of Process for Voluntary Industry Initiatives
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## **DISCUSSION**

- Industry Initiatives put in three categories using 10CFR50.109 definitions regarding backfitting for issues that:
    - might complement a regulatory action necessary to ensure adequate protection, or
    - are in place in lieu of compliance based regulatory action, or
    - are used in lieu of a regulatory action where protection justified by backfit analysis, or
    - were initiated to address an issue of concern to the industry but not of regulatory concern.
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## **DISCUSSION**

- For adequate protection issues -responsibility of NRC
  - Industry initiatives of second type OK in lieu regulatory action
    - BWRVIP and Maintenance Rule complement by NEI Guidelines referenced in Reg. Guide examples discussed
    - Industry initiatives of these types should be implemented by commitment or FSAR change
  - Third type strictly voluntary-minimal NRC involvement
  - Consider fourth type to address issues that are risk significant but beyond regulatory requirements
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## **PROCESS AND GENERAL DECISION CRITERIA**

- Identification issue and agreement between the NRC and industry as to type
  - Identification of the appropriate form for the initiative, i.e., "topical report," industry guideline satisfying a regulatory guide or initiative beyond regulatory requirements and agreement regarding fee recovery.
  - Identification of the staff's review and approval document, if any,
    - e.g., generic safety evaluation report (SE), plant-specific Ses.
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## **PROCESS AND GENERAL DECISION CRITERIA**

- Identification of the method of licensee implementation, e.g., Commitment, FSAR change, 10 CFR Part 50 Appendix B, or plant procedures.
    - Ensure that the public can participate in the process.
    - Ensure that voluntary initiatives are adequately tracked and managed -- handled consistent with commitment tracking procedures
    - Ensure that the inspection / monitoring, if appropriate, of voluntary industry initiatives is consistent -- Issue guidance to Regions
    - Ensure that enforcement policy is appropriate for VIIs
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